DOCUMENT RESUME

ED 066 151 JC 720 192

AUTHOR Faber, Joan
TITLE Outside Funding at Montgomery Community College: A Manual to Assist College Personnel in Developing Proposals and Applications for Outside Funding Grants.
INSTITUTION Montgomery Coll., Rockville, Md.
PUB DATE Jun 72
NOTE 36p.

EDRS PRICE MF-$0.65 HC-$3.29
DESCRIPTORS *Educational Finance; Federal Aid; *Financial Support; Grants; *Junior Colleges; Operating Expenses; Private Financial Support; *Program Administration; Program Budgeting; Program Planning; *Project Applications; State Aid
IDENTIFIERS *Maryland

ABSTRACT

The purpose of this report is to provide information about how financial assistance has been obtained by Montgomery Community College (Maryland) to support its programs and services. Outside sources of funding, including federal and state grant programs and private foundations are identified. A set of procedures has been established by the college to assist project initiators in planning and developing applications for funds; the college's development specialist coordinates these procedures and serves as a resource to the project initiator. The application, consisting of the preprinted forms designed by the granting agency, the narrative or proposal, and the budget, must be carefully completed to increase the possibility of being funded. The processing of the application and the criteria of programmatic review are explained and an evaluation rating form used by the reviewers of proposals is included. The management of the funded projects and the expenditure of the grant are responsibilities shared by the project director and his supervisors, the fiscal personnel of the college, and the development specialist. (RG)

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
OFFICE OF EDUCATION
THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL OFFICE OF EDUCATION POSITION OR POLICY

ED 066151

OUTSIDE FUNDING

AT

MONTGOMERY COMMUNITY COLLEGE

A MANUAL TO ASSIST COLLEGE PERSONNEL IN DEVELOPING PROPOSALS AND APPLICATIONS FOR OUTSIDE FUNDING GRANTS

JC 720 192

JUNE 1972

UNIVERSITY OF CALIF.
LOS ANGELES

SEP 19 1972

CLEARINGHOUSE FOR
JUNIOR COLLEGE
INFORMATION

OFFICE OF INSTITUTIONAL RESEARCH

JOAN FABER

DEVELOPMENT SPECIALIST

FOREWORD

Outside Funding is a term used to refer to the financing of all of the College's educational programs and services from sources other than the usual County and State support. It excludes grants for planning or constructing facilities, furnishing initial furniture and equipment, and financial assistance to students, except as such grants and assistance may pertain to a funding proposal in support of an educational program. However, Outside Funding is construed to include potential funding from Federal, State, and private sources which is to be used in support of programs resulting from any negotiations, agreements, and arrangements with other institutions, organizations, agencies, and groups which seek the College's cooperation and involvement in such programs.

Montgomery College Policies and
Procedures Manual
February 15, 1972

Within the framework of the above statement, Mrs. Faber has prepared this manual for the purpose of assisting members of the College community translate their ideas into funded projects. She explains the processes required by granting agencies and relates them to the procedures of the College.

Mrs. Faber has written this in her role as Development Specialist, in response to requests from College personnel for a basic guide to securing grants. Applying for a grant may seem a formidable task, especially to the uninitiated. It is the intent of this manual to acquaint the reader with the resources available to facilitate the task.

After reading the manual, if you are interested in a specific project, you should consult Mrs. Faber for more detailed information and assistance in threading the maze of Outside Funding.

Robert L. Gell, Director
Office of Institutional Research

TABLE OF CONTENTS

	FOREWORD	(i)
I	PURPOSE	1
II	DEFINITIONS	2
	GRANT VERSUS CONTRACT 2	
	FORMULA VERSUS DISCRETIONARY GRANT 2	
	BLOC GRANTS 3	
	PROGRAM VERSUS PROJECT 3	
III	PROCEDURES	4
	INTERNAL PROCEDURES 4	
	EXTERNAL PROCEDURES 4	
	RELEVANT FEDERAL AGENCIES 5	
	AWARDING AGENCIES 5	
	PRIVATE FOUNDATIONS 6	
IV	THE APPLICATION	7
	PREPRINTED FORMS 7	
	THE PROPOSAL 7	
	PROPOSAL WRITING 8	
	RELEVANCE OF THE PROPOSAL 8	
	PROPOSAL DEVELOPMENT 9	
	IMPORTANCE OF TIMING 10	
V	THE BUDGET	11
	DEVELOPING THE BUDGET 11	
	REVIEWING THE BUDGET 12	
	TERMINOLOGY 12	
	BUDGET JUSTIFICATION WORKSHEET 14	
VI	REVIEW PROCESS	16
	PROCESSING THE APPLICATION 16	
	REVIEWING THE APPLICATION 16	
	EVALUATION 17	
	BASIC ELEMENTS IN PROPOSAL EVALUATION 19	
	EVALUATION RATING FORM 20	
	GOVERNMENT CRITERIA 22	
VII	POST-GRANT ADMINISTRATION	24
	NOTIFICATION OF AWARD 24	
	ORIENTATION SESSION 25	
	REPORTING RESPONSIBILITIES 25	
	AUDITS 25	
	ADJUSTMENTS 26	
VIII	SUBSEQUENT SUPPORT	27
	MULTIYEAR GRANT 27	
	NOMENCLATURE 27	
IX	SUMMARY	28
	APPENDIX	A-1

I PURPOSE

The goal of Outside Funding is to identify granting agencies whose purposes and requirements match the College's goals and resources so that additional funding from the former will strengthen the College's mission of meeting the educational needs of the community which it serves.

Outside Funding is not "grantsmanship." It provides additional financial support for the educational programs and services which the College has determined are within the institution's goals and objectives. Nor is it "interference" or "Federal control" since it is derived from local initiative.

In an effort to maximize the opportunities for funding, Montgomery College has developed a process for grant coordination and established the position of Development Specialist. This member of the staff performs a clearinghouse function which is more completely described in the Appendix. In general, the Development Specialist serves as an informational resource about Outside Funding and assists in the development, submission, and negotiation of project applications.

Specifically, Outside Funding can benefit Montgomery College with additional financing in order to:

extend the resources of the College and to fill the gap between its plans and its resources.

secure instructional materials and equipment not included in the College's operating budget.

expand a program of the College beyond what has been budgeted.

introduce a new, perhaps costly, program.

train students for occupational fields, such as law enforcement or allied health professions, for which a government agency has determined a need.

assist students wishing to prepare for such employment.

share the institutional programs of the College with others in the community through visiting lecturers, artists, etc.

assist the community, through the College's technical assistance and consultative capability, to solve its problems.

serve new populations seeking higher education who require other-than-traditional programs.

II DEFINITIONS

At Montgomery College, Outside Funding is the term used to refer to the financing of the College's educational programs and services, except those excluded, from sources other than the usual County and State support. These sources include Federal and State grant programs as well as those of private foundations. At other institutions, the terms "supported projects," "sponsored programs," "extramural programs," and "grants and contracts" are often used.

GRANT VERSUS CONTRACT

Within government agencies, however, distinctions are made between a grant and a contract, and between a program and a project. A grant is basically a gift, a sum of money given under certain conditions to an institution to conduct a project for a given period of time. A contract is essentially a procurement action, to purchase services. A grant requires legislative authority; authority to negotiate a contract stems from the procurement regulations of the granting agency. A grant award is a simple document, often merely a letter, whereas a contract is a legally binding document. It contains all the clauses required by law, executive order, and regulations ("boiler plate") as well as the special provisions relating to the specific project. There are other technical differences which relate to payment, reporting, and auditing procedures and to the acquisition and title to equipment.

Contracts may be fixed price, cost reimbursable, or cost-plus-fixed fee. Most contracts negotiated by Montgomery College would be cost reimbursable and would be sole-source rather than resulting from competitive bidding. A sole-source contract is defined as one which is awarded to the only contractor who has the special qualifications to complete the work.

FORMULA VERSUS DISCRETIONARY GRANT

Within some government agencies, those of the Department of Health, Education, and Welfare particularly, a distinction is made between formula grants and discretionary grants. Formula grants are apportioned among the states and some territories as mandated by the authorizing legislation. Examples of formula grants are those authorized by the Vocational Education Amendments of 1968 and certain titles of the Higher Education Act of 1965, as Amended (HEA) including community services grants, instructional equipment grants, and student financial assistance. A discretionary grant is defined as one for which both the amount of the grant and the decision to award it are within the administrative discretion of the awarding agency. Other titles of HEA, including professional development, college library resources, and developing institution support permit discretionary grants.

BLOC GRANTS

Grants may also be defined by recipient. Bloc grants refer to awards, made usually to states by the Federal government, and disbursed by the states in accordance with their own requirements. Institutional grants are similar except that the recipients are institutions rather than states. To date, institutions of higher education, including community colleges, have not been eligible for such awards. For the first time, however, institutional grants to colleges are included in the 1972 higher education legislation. The term "categorical grant" or "project grant" is often used by the public media to describe support for a specific project as distinguished from general support to an institution. These terms, however, are not used within the funding agencies.

PROGRAM VERSUS PROJECT

Although the words "program" and "project" are often used interchangeably, within "Federalese" they have different meanings. A program is a group of projects and is administered by the government agency. One of the administrative responsibilities of the agency is to fund projects which are conducted by individual institutions and organizations. Strictly speaking, therefore, the College would administer a project, not a program.

III PROCEDURES

Whether the Outside Funding is a grant or a contract and whatever its purpose, it must be kept in mind that it is awarded to the College and not to the individual who is the initiator, and who subsequently may be the director of the project. The College bears the ultimate responsibility for the conduct of the project and compliance with all fiscal, legal, and contractual requirements. Granting agencies are insistent, also, that there must be widespread concurrence and an institutional commitment to the project if it is to succeed and achieve its objectives.

INTERNAL PROCEDURES

Therefore, Montgomery College has adopted procedures for initiating and developing proposals and applying for Outside Funding. These procedures will be found in the Appendix to this manual. They have been developed not as "red-tape" or other bureaucratic blockage but to assist a project initiator, to insure that the College can successfully carry out the project, and to enhance the possibilities of its being funded. Each phase calls for the interaction and proposal evaluation which experience has shown to be necessary. The procedures are in accord with the operating philosophy that successful funding stems from the goals and priorities of the educational mission identified by the institution and not from those determined by the granting agency and its authorizing legislation. Funding through grants is an extension of the College's planning and development activities and each proposal must, therefore, be reviewed and concurred in by those who have responsibilities in all the areas to be affected by the intended project. For example, any proposed additional equipment and facilities have implications for existing and planned facilities for which the Office of Facilities is responsible.

Other campus and central administration personnel who are involved in developing and reviewing the proposal are identified in the procedures and the concurrence form printed in the Appendix. If the project initiator is not familiar with the internal procedures, it would be advisable to turn to the Appendix before reading further.

EXTERNAL PROCEDURES

In addition to College procedures, it is vital that those of the granting agency be followed. Each agency, and even grant programs within an agency, has different requirements. Institutions of higher education are eligible for support from more than 400 different Federal programs, over 100 of which are administered by the U. S. Office of Education alone. Community colleges, however, are not eligible for all of them. Over half of the Federal funds in support of higher education are devoted to research, an area preempted by senior colleges and universities.

It is, therefore, imperative to know the guidelines and eligibility requirements of the specific grant program. Each granting agency publishes them in the instructions for applying. Knowledge of the authorizing legislation

and the regulations promulgated thereunder is also vital but these must be secured upon request. Having this knowledge before developing the proposal to the application stage can save time, effort, and grief. The College has centralized the collection and filing of this information in the position of Development Specialist. It is for this reason that the College procedures call for early consultation with the Development Specialist so that the most likely choice of funding agency may be identified.

RELEVANT FEDERAL AGENCIES

The Federal agencies whose grant programs are most relevant to community colleges are:

- Department of Health, Education, and Welfare
  - National Institutes of Health
    - Division of Nursing
    - Division of Allied Health Manpower
  - Environmental Health Service
    - Food and Drug Administration
  - Health Services and Mental Health Administration
    - National Institute of Mental Health
  - Office of Education
    - Bureau of Higher Education
      - Division of College Support
      - Division of Student Assistance
      - Division of Academic Facilities
    - Bureau of Adult, Vocational, and Technical Education
    - Bureau of Libraries and Educational Technology
    - Bureau of Educational Personnel Development
- Department of Justice
  - Law Enforcement Assistance Administration
    - Law Enforcement Education Program
- National Science Foundation
  - Division of Undergraduate Education in Science
- National Endowment for the Arts
  - Education Programs
  - Music Programs
  - Visual Arts Programs
- National Endowment for the Humanities
  - Division of Education
  - Division of Fellowships and Stipends

AWARDING AGENCIES

The awarding of Federal grants may be by the agency's national office, by the regional offices, or by a single state agency. In some instances, the awarding procedure is by one or the other, or by a combination. For example, grants under the College Library Resources Program are awarded by the national office, the Division of Library Programs, Bureau of Libraries and Educational Technology. Law Enforcement Education Program grants are awarded by the Department of Justice's regional office. (Montgomery

College is located in Region 3 whose regional offices are in Philadelphia, Pennsylvania.) Applications for Federal Student Financial Assistance are initially reviewed by panels at the regional level but the allocation of funds is made by the national office. Instructional Equipment grants are reviewed by a state agency (in Maryland, by the Department of State Planning) who forwards recommendations to the Division of Academic Facilities who then makes the award based on the recommendations received. Some grants from the National Endowment for the Arts are awarded by the headquarters program division; others are awarded by the State Arts Council which is funded by the Endowment.

Two programs in which the College participates are administered entirely by a single state agency. In the case of support of the College's regular vocational-technical education programs, the agency is the Division of Vocational-Technical Education of the Maryland State Department of Education. Community services and continuing education grants are awarded by the Title I State Agency which is the University of Maryland.

These differences in awarding agencies affect the application process and often the time between application and award. Again, the assistance of the Development Specialist can minimize the seeming difficulties posed by this plethora of grantors.

PRIVATE FOUNDATIONS

Private foundation grants are even more diverse. In this country, there are approximately 25,000 private foundations; only three to four hundred are general or national in scope. The rest are commonly referred to as "family foundations" and most of them give in the same way and to the same organizations that the individual who founded it did. They have been established for convenience of giving and as a tax-saving mechanism, in some instances. Therefore, most such foundations give preference to proposals within their own geographic area or related to the business whose funds are the basic asset of the foundation. There are only about thirty foundations (Ford, Kellogg, Carnegie) of national significance and it is almost a waste of time for a local institution to seek funding support from them.

In general, foundation grants do not support activities for which the Federal government has accepted responsibility. In fact, the threat to congressional prerogative by the public interest thrust of some of the major foundations underlies the tax reform bill of 1969 whose effects on foundation giving is as yet unknown.

Because of the diversity of foundations, it is impossible to include generalized comments on applying to them for support. The Development Specialist, however, collects informational resources to which interested personnel may refer.

IV THE APPLICATION

An application to a governmental granting agency usually consists of three parts: the preprinted forms requesting institutional data; the narrative or proposal; the budget.

PREPRINTED FORMS

It is the responsibility of the Development Specialist to coordinate securing the information requested by the preprinted forms. These identify personnel within the institution who will share the responsibility of administering the project; provide student, program, and fiscal data to insure the grantor of the institution's involvement and interest in project-related activities; will attest to the institution's eligibility to receive funds according to the legislation and rules regulating the grant program; and, by the President's signature, commit the institution to the program.

Budgeting for a grant is the area with which a project initiator may have the most difficulty. Grant budgeting requires technical knowledge and familiarity with the fiscal policies of the grantor and of the College. It is advisable, therefore, to consult with the Development Specialist who will coordinate with appropriate College offices such as Finance, Personnel, Facilities, and Procurement. This involvement will insure that the budget for the grant is in conformity with College fiscal policies, that all needed resources are identified, and that the project can be administered according to the plan. It also facilitates the College's including the project in its ongoing programs at the conclusion of the grant period, if such action is deemed appropriate. The budget is so important a part of any application that a separate section of this manual (Section V) is devoted to it.

THE PROPOSAL

The question most often raised when considering applying for a grant is: "Who writes the proposal?" To anyone conversant with proposals, there is but one answer: the person whose idea it is and who wants to carry out the project, if funded. In fact, the writing of a proposal begins before a word is set down. Behind the paper and ink must be an adequate amount of research and thoroughness of thought. Lack of these are easily exposed on paper. The project initiator will wish to take advantage of insights and inputs from his colleagues; he will welcome editing assistance; but <u>one person</u>, not a committee, writes the proposal.

What is a proposal? It is a method to communicate an idea plus an effort to convince or persuade the reader (See Section VI, Review Process) of its merits so that he will award the necessary funds to put the idea into action. What is a good proposal? It is one that <u>successfully</u> communicates a <u>good</u> idea. The relative quality of both the idea and the communication of that idea determines whether or not a proposal is funded. In the end, it is more important that the reader say, "That's a good project!" than for him to say, "That's a good proposal."

PROPOSAL WRITING

This publication does not purport to be a style manual nor the definitive handbook on skillful proposal writing. There have been many such written, a few of which are included in the informational resources collected by the Development Specialist. In writing a proposal, keep in mind that the project stands or falls on what is presented on paper; rarely is there the opportunity to explain what is not clear, to amplify what has only been alluded to, or to correct what is misunderstood. It is wise, therefore, to have the writer's peers read and critique it before submitting it. Slick writing is definitely out. Most readers of proposals are sophisticated enough to see through slick packaging. On the other hand, neatness, clarity, and accuracy do count. Reviewers may conclude that a sloppy proposal foretells a sloppy project. It is necessary to convey the complete picture, but this does not require verbosity. Material that might be useful to the reader but which might tend to clutter the proposal would best be referred to in the body and then appended.

How long should a proposal be? In the past, most proposals submitted were so long that many agencies now prescribe a maximum limit (e.g., no more than 12 double-spaced pages). If no maximum is stated, a good rule of thumb is not to exceed five single-spaced, typewritten pages. Also, bear in mind that a proposal competes for time and attention as well as funds. Even if not required, therefore, it is wise to start with an abstract or summary which sets forth the essentials at the outset.

The most useful tool to the proposal writer is the ability to write a simple declarative sentence. Avoid jargon, acronyms, buzz words, and pretentious writing. Keep it clear, simple, and concise. Be certain it is complete, but avoid discursions and repetitions. If a proposal is too wordy, it runs the risk that the reader, faced with reviewing dozens of proposals, will give up and not continue reading it.

The purposes, objectives, methods, and outcomes should be expressed in positive terms. "This program will provide" is preferable to "This program will attempt to provide." If the project is only an attempt, why should it be funded? "To counsel and assist students with placement" carries less conviction than "To place students."

RELEVANCE OF THE PROPOSAL

Community colleges, in general, have not been too successful in competing for Federal funds. The tendency within a community college, due to rapid growth and development, has been to focus on its own problems, its own particular needs. There is just not enough money to fund institution by institution. Government agencies look for the multiplier effect and tend to favor proposals involving other institutions on either a state, regional, or wider basis.

Then, too, some college personnel tend to focus on their own idea as in writing an article for publication. Proposal writing must address itself

to the purposes and priorities of the funding program or agency. Incidentally, the priorities may change from one funding cycle to the next. They are always, however, clearly defined in the instructions which accompany the application forms. The Development Specialist, through constant research and reading, keeps abreast of these changes and can be a source of information about the agency's current emphasis. To win a Federal agency's support, a clear connection must be shown between the need the College is trying to serve and the need delineated in the legislation by which the grant program is authorized.

To assure this, some grantors require (others suggest or invite) a preproposal before they will even send application forms. A prescribed or suggested outline for this preliminary proposal may be furnished. The more usual form, however, is a letter (no more than two or three pages). The letter should briefly describe the project, the need addressed, the qualifications of the applicant, and the total estimated budget for the time period planned. Ineligible applicants or projects can be screened out, thus saving time for both the funding source and the project initiator. On the other hand, valuable comments, suggestions, and the offer of technical assistance may be given by the funding agency which can be the difference between success and failure to receive an award. In most instances, proposals which have been "written in a day" and immediately funded have gone this prospectus route accompanied by in-depth discussions with program personnel of the agency.

PROPOSAL DEVELOPMENT

Typically, at Montgomery College, a proposal is developed in successive stages.

1. The project initiator works with major resource persons (within the College or without) to accomplish the preliminary planning.

2. The project initiator prepares a preliminary draft, usually well in advance of any submission deadline, which is circulated within the College by the Development Specialist. In turn, College personnel offer constructive suggestions to the project initiator through the Development Specialist.

3. The project initiator prepares the final substantive draft desirable to the funding agency, feasible to the institution, and in accord with its procedures regarding students, personnel, facilities, purchasing, and disbursements.

4. The project initiator revises the final draft in terms of the College's and the grantor's priorities and procedures.

Concurrently, the Development Specialist is coordinating the securing of needed data, insuring the accuracy and completeness of the budget, and obtaining the required intra-College concurrences and signatures. It must be kept in mind that, under State law, the authority to "receive and

expend funds" rests with the College's Board of Trustees. It is the Development Specialist's responsibility to schedule the phases of proposal development to meet both the grantor's deadline for submission and the date established by the President for action by the Board of Trustees.

Before submitting the signed and College-approved application, the Development Specialist will check that all required information is included, that every question on the preprinted forms has been answered, and that all technical requirements (number of copies, inclusion of statements of compliance and assurance, proper order in which the parts of the application are assembled, notification to other Federal or state agencies) have been complied with.

IMPORTANCE OF TIMING

Despite all the preplanning and assistance from other College personnel, time pressure is inevitable. Federal agencies usually allow too little time between sending out the invitations to apply and the date by which applications must be received. Strict attention must be paid to deadlines; some agencies accept the date of mailing, others require that the application must be received by the deadline date. In the event of the latter, sufficient time must be allowed for delivery of mail. Rarely will an extension of time be allowed. The Development Specialist will take this into account in scheduling the phases of proposal development.

Time pressures, however, can be avoided by advance planning. If needs have been identified, if the gaps in resources have been quantified, if the agency's guidelines and awards of previous years have been studied, if there has been discussion of a preliminary proposal with appropriate College personnel and with program staff of the agency, it is possible to apply immediately upon receipt of the application forms or very soon thereafter. In point of fact, many agencies assume that there will be such advance planning activities and do not feel that their deadlines pose any problem--and they do not, to the institution which gears itself to meet them.

Looking ahead is a constant imperative of success in Outside Funding. A college must be one to two years ahead of the "Guidelines." This requires a constant keeping up with trends in education, in legislation, in community problems, in the changing aspects of society's total needs and the role of institutions of higher education in meeting those needs. Opportunities abound when new legislation is passed. There is a period of time in which the government agency is gearing up to administer the new legislation. Between the passage of the Act, the appropriation of funds, and the acceptance of proposals, the institution could be working toward developing the type of program it wants to conduct. There is another advantage to applying during the initial funding cycle. Appropriations in future years may already be committed to continuing those initially funded or to previously "approved" but unfunded applications.

V THE BUDGET

"The budget is an operational statement in monetary terms. A carefully thought out project translates easily into specific amounts. Budget preparation is a good test of how carefully one has teased out the details of the procedure."

D. R. Krathwohl:
How to Prepare a Research Proposal
Syracuse University Bookstore
Syracuse, New York, 1966

If the budget is thought of as a description of the project expressed in numbers, it should give the reviewer a clear idea of the program even without reading the narrative. Reviewers always check the budget; they may skip parts of the proposal or narrative knowing that much of it is just rhetoric. If the two, that is, the budget and the narrative, do not conform, either the budget is incorrect or the text is incorrect and the assumption usually is that it is not the text.

The budget has also been termed "the financial mirror of the narrative portion." Therefore, there should be no surprises, i.e., inclusion of budget items not explained in the narrative or vice-versa.

In submitting an application, there is either an implicit or explicit assurance that all costs are "reasonable," are in accord with established standards or rates of the institution, and will be recorded in conformity with the institution's accounting system. This requires that appropriate personnel and offices of the College will be involved in the preparation of the budget. The coordination of this involvement will be expedited by the Development Specialist.

DEVELOPING THE BUDGET

Some knowledgeable proposal writers suggest starting with the budget; this is advisable if the agency has a limit which must be stayed within. (An example of such a grant is the Mental Health Training Program which provides support for four years at the rate of $15,000 per year.) It is necessary then to decide the best way to spend that amount rather than list everything the proposal writer would like to do. Others recommend starting with the proposal and then develop a budget to support it. Trying to answer, "Which comes first, the budget or the narrative?" is akin to trying to determine "Which comes first, the chicken or the egg?"

One experienced proposal writer uses a budget justification worksheet whose columns identify total cost, provide a breakdown of requested funds and those to be contributed by the applicant or cooperating local sources, outline the basis on which each cost was developed, and refer to the page of the narrative relevant to each expense. This insures that all funds are justified and that all components of the project are adequately funded. The

worksheet is not necessarily submitted with the application but is kept for future reference. It can be a valuable tool when the project becomes operational to guide the project staff in expenditure of the grant award. An adaptation of this worksheet, partially completed, is at the end of this section. Worksheet forms are available from the Development Specialist.

REVIEWING THE BUDGET

There is no need to pad the budget under the misconception that it will be cut anyway. If the budget has too much "fat," it will be apparent to the reviewing agency and it will be cut--but not necessarily in discussion or negotiation with the applicant. Thus a padded budget may have the "meat," rather than than the "fat" cut from it. It is wiser to construct an honest budget including everything that is required. Usually, grants do not allow a cost item for contingencies. It is wise, therefore, to know the rebudgeting parameters (i.e., the amount of flexibility allowed from one approved category to another, such as personnel and non-personnel costs, or between line items) before finalizing the requested budget. The assistance of the Development Specialist can relieve the project initiator of many of these details.

It is often a surprise to a project initiator to discover that the funding agency has increased the amount requested. It is apparent to experienced program and budget analysts within these agencies when requested funds are too little to successfully conduct what they deem a worthy project. Most funding agencies have a benchmark which is applied to all applications such as cost-per-student. Any application which varies markedly from such a norm will be scrutinized and if found not to be justified or susceptible to correction will be rejected.

Each funding agency establishes which costs are allowable and which are not. Each also indicates which require itemization and in what detail. Some agencies require projections for succeeding years and carbon copies of the first-year's budget are not sufficient. Here again the Development Specialist can be of assistance in interpreting these requirements for the project initiator and securing input from other College personnel.

In summary, the technical hazards of preparing the final budget are so many and so varied, the project initiator would be wise to consult the Development Specialist to insure utilizing the expertise in fiscal matters of other College personnel. There are, however, certain terms used in grant budgets with which the project initiator should be familiar.

TERMINOLOGY

Direct Costs are those directly attributable to the conduct of the project. Allowable direct costs are usually indicated in the preprinted budget forms of the application.

Indirect Costs, though <u>real</u> costs incurred by the institution, are not directly attributable or easily tracked by audit (e.g., general or

administrative expenses, utilities, plant operation and maintenance, etc.). They are, therefore, not itemized but expressed as a percentage of either salaries or total direct costs. Determination of the allowable base and rate of indirect costs is very complex. It is advisable to confer with the Development Specialist who will consult with accounting personnel of the College.

Matching Funds, or Funds from other Sources, indicate the College's participation at a given level (usually expressed as a percentage) in the financing of the project. If matching funds are required, the project initiator should clear this with the appropriate Campus Dean or central administrator before engaging in any other proposal development step. Matching funds may be cash, or in-kind contributions including contribution of part or all of indirect costs, if the latter are allowed. If a cooperative project, contributions from any or all of the cooperating organizations may be used to satisfy the matching requirement. However, the non-Federal share must also be an allowable budgeted item, must be related to the project, must be recorded in the same manner as Federal funds, and is also subject to audit.

Cost Sharing indicates the College's participation but not necessarily at a fixed level. They may be in the form of either direct or indirect costs and in addition, unlike matching funds, may be demonstrated by actually incurred costs which are absorbed by the institution and not charged to the grant or grants. Cost Sharing is usually related to research grants and not to training grants and, therefore, is not as relevant to Montgomery College as Matching Funds.

Maintenance-of-Effort. Some grant programs require only that the College continue to expend from non-Federal sources for its activities related to the project an amount not less than the average annual amount expended during the years (typically, three) preceding the year for which the grant is requested. In other words, the financial effort by the College will be maintained at the previous level. This assurance is required from the College to insure that Federal funds are used to supplement, and not supplant, local funds.

BUDGET JUSTIFICATION WORKSHEET

	Total $	Requested $	Local $	Source	Basis of Cost	Page No.
Personnel						
Project Director:						
Dr. John Jones	4,766		4,766	MC	III 5, 12 mos. $19,065 x 25%	4, 6
Administrative Aide	7,114	7,114			10 A, 12 mos. x 100%	4, 6
Instructional:						
Part-time faculty	14,400	14,400			900 contact hours x $16 per hour	5, 7
Student assistants	7,200	7,200			900 hours x $2.00 x 4	5, 7
Fringe Benefits	1,782	1,067	715	MC	PD and AA - FICA 5.2%, Retirement 6., Insurance 3.8; $11,880 x 15.0%	4
	35,262	29,781	5,481			
Consultant Services						
Fees	250	250			5 presentations (lectures, demonstrations, development of instructional methodology) x $50(average)	10
Travel						
Expenses						
Equipment						
Major	7,930	7,930			1 Burnout Furnace @$280 1 Ultrasonic Cleaner @$150 20 Student stations @$375 = $7,500	8
Minor	570	570			(Itemized list attached)	9
	8,500					
Repair & maintenance	213		213	MC	$8,500 x 2 1/2%	8
Supplies						

Instructional	2,800	2,800			Lab supplies (itemized list attached) $2,300; Lab manuals, $25 x 20 = $500	9
Office	100	100			Stationery, stencils, etc.	4
Other						
Travel						
Transportation	500				Staff(5) + students(20), to area labs for supervised clinical practice, 25 x 200 miles x 10¢ = $500	9
Expenses	122				Round trip, economy air fare, Chicago $102, ground transp. $20 =$122	12
	75				Per Diem 3 x $25 = $75 (PD attend Dental Lab Training Conference, October 12-13.)	
	697	697				
Trainee Expenses	9,000	9,000			Stipend, 20 students x 45 weeks x $10 = $9,000	11
Communication and	150		150	MC	Telephone service	4
Reproduction	1,800	1,800			Preparation and processing of instructional visual aids, 20 x $90 (average) = $1,800	10
Other						
Instrument kits for students students	1,000		1,000	Donation	20 kits (@$50) of instruments to be given to students upon satisfactory completion of training program. Donated by Associated Dental Laboratories, Rockville, Md.	11
TOTAL DIRECT COSTS	59,772	52,928	6,844			
Indirect Costs					Rate derived from HEW allowable for training projects, 8% of Total Direct Costs	
8 % x $58,772* (Rate x Base) (*less donation)	4,703	4,703	____			
TOTAL COSTS	$64,475	$57,631	$6,844		Maximum requested funds allowed, 90% = $58,118	

VI REVIEW PROCESS

Although each submitted application will undergo intensive and extensive review by the funding agency, it would be wise to subject it to internal review before submitting it. An outline to assist the project initiator in proposal evaluation will be found at the end of this section. It is an adaptation of materials prepared for a Proposal Writers' Clinic held at the University of Maryland in 1970.

Because it is difficult for any proposer to maintain complete objectivity, the project initiator may wish to involve his colleagues in this evaluative review. He must also accept the fact that not all applications result in grants. It has been stated that even top-notch researchers have a one-out-of-five success rate. Even some that are "approved" do not result in funding because of limited funds, geographic distribution, and other priorities of the funding agency. Despite this, agencies will continue to invite applications in order to support increased requests for appropriations for the program.

PROCESSING THE APPLICATION

What happens to an application when it is received? The following describes the usual routine but as with all matters relating to grants, each agency prescribes its own procedures. The application will be logged in and assigned a proposal number. Some agencies, particularly those who include a reply card, will acknowledge receipt of the proposal. Many, however, will not. Program and clerical staff of the agency will then check the application for relevance to the interests of the agency, for compliance with instructions, to insure that all required signatures are affixed, and all required materials (such as assurances, exhibits, catalogs, etc.) are appended. If missing, some agencies will inform the applicant and allow time for compliance. Other agencies may reject the application for missing items. If pertinent, the application may be reviewed by other offices within the agency such as general counsel, civil rights, and equal employment opportunity.

REVIEWING THE APPLICATION

Programmatic review is most often accomplished by means of outside readers or peer review by one or more members of a review panel. The use of outside reviewers is a well established practice in government agencies. It recognizes that agency employees could not keep up with the latest developments in all of the relevant academic fields. It also guarantees that the project will be judged on its professional merits. Some agencies furnish the reviewers with evaluation forms and rating scales, some do not. In some instances, the review panels themselves develop the rating materials. A composite Evaluation Rating Form will be found at the end of this section. In rare instances, review may include an on-site visit by one or more members of a review panel.

In general, this is what readers and reviewers look for:

1. Relevance - pertinence of the proposal to the goals and priorities of the agency.

2. Innovativeness - something different but not so unique that it cannot be replicated.

3. Soundness - of approach, design, or methodology.

4. Outcomes - a clear statement of what will be accomplished and the method of evaluation.

5. Personnel - capability, experience, and percent of time available to the project.

6. Resources - adequacy of the institution's resources including facilities.

7. Commitment - evidence of institutional support and pertinent experience in addition to the project initiator's.

8. Budget - reasonableness of cost and project expenses in line with the institution's policies.

Surveys have been made, assessing the strengths and weaknesses of individual grants made. They show that the preliminary judgments of independent evaluators tend to be accurate. It is likely, therefore, that peer review will continue and more use made of Advisory Councils by Federal agencies in the grant process.

These studies have also shown that successful projects tended to combine the following factors:

an institution committed to the project and to the changes sought,

a campus climate supportive of the project throughout the entire period of the grant,

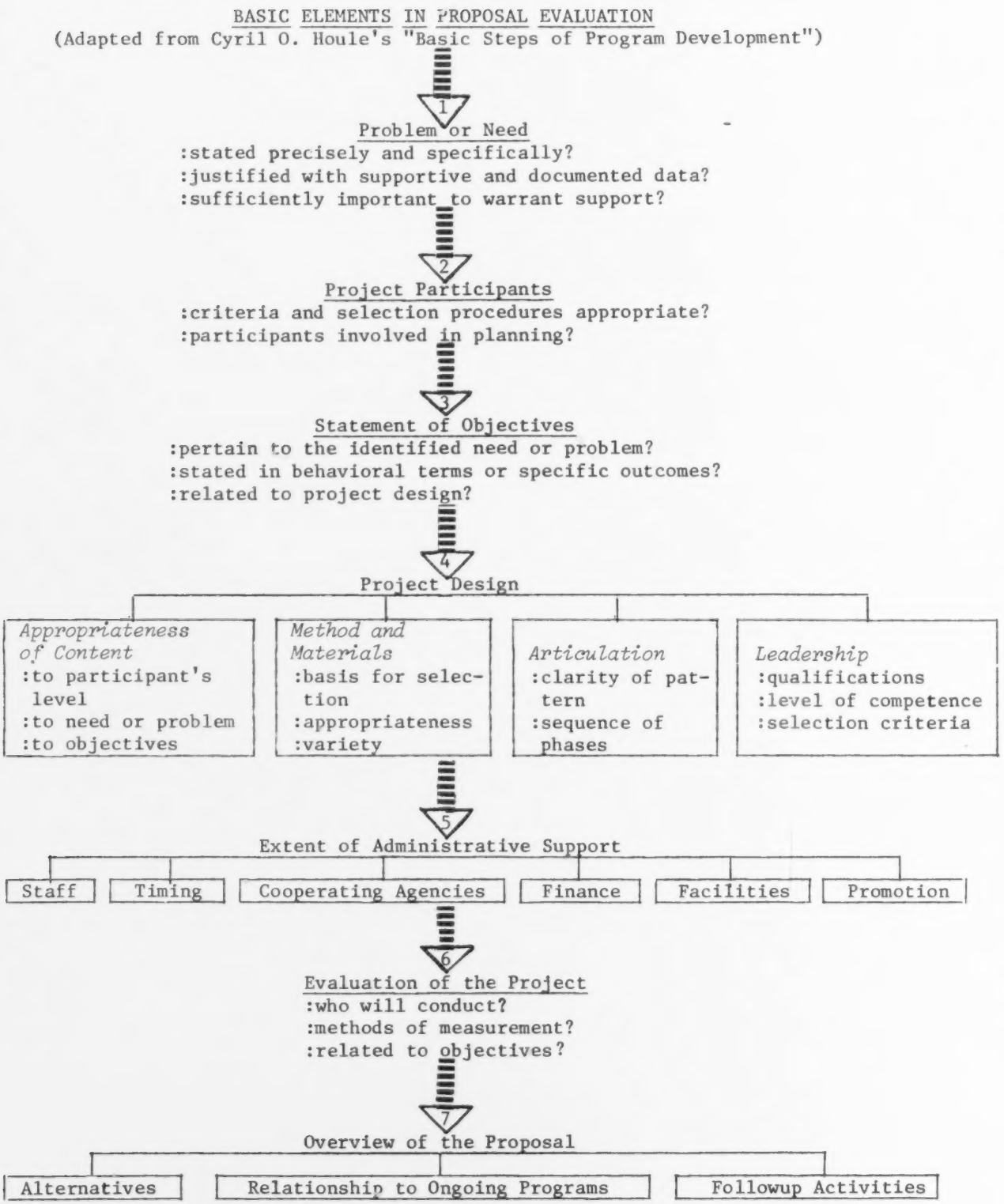
one or more individuals who gave capable leadership to the project.

Based on the recommendations received from the readers, program staff of the agency itself make the actual decision whether or not to fund the project and at what level. The budget is usually reviewed again, not only in respect to the project but in light of the agency's funds available for obligation.

EVALUATION

Much is heard about accountability and evaluation. To a government agency, accountability has a simple connotation: have the funds been expended for the intended purpose and was their expenditure effective. Similarly with

evaluation, it is not necessary to design a sophisticated or complex mechanism. It is best to keep it simple, but specific. Plan to measure only what is measurable. This will, of necessity, require that the objectives of the project be stated in specific terms. For example, "to improve the quality of life in those being trained" defies measurement; but "to increase the wages of those being trained" or "to increase the number of job placements for trainees" can be measured by relatively simple techniques. Unless specifically prohibited, funds should be requested in the budget for evaluation; 10 percent of the total requested is considered to be reasonable.


BASIC ELEMENTS IN PROPOSAL EVALUATION
(Adapted from Cyril O. Houle's "Basic Steps of Program Development")
1
Problem or Need
:stated precisely and specifically?
:justified with supportive and documented data?
:sufficiently important to warrant support?
2
Project Participants
:criteria and selection procedures appropriate?
:participants involved in planning?
3
Statement of Objectives
:pertain to the identified need or problem?
:stated in behavioral terms or specific outcomes?
:related to project design?
4
Project Design
Appropriateness of Content
:to participant's level
:to need or problem
:to objectives
Method and Materials
:basis for selection
:appropriateness
:variety
Articulation
:clarity of pattern
:sequence of phases
Leadership
:qualifications
:level of competence
:selection criteria
5
Extent of Administrative Support
Staff
Timing
Cooperating Agencies
Finance
Facilities
Promotion
6
Evaluation of the Project
:who will conduct?
:methods of measurement?
:related to objectives?
7
Overview of the Proposal
Alternatives
Relationship to Ongoing Programs
Followup Activities

EVALUATION RATING FORM*

Title of Project: Date:

Name of Institution: Reviewer:

Project Director or
Principal Investigator: Rating Scale: The highest score is 1
The lowest score is 5

1. SIGNIFICANCE (Clarity and consistency in delineating: importance of problem or need, attainable objectives, possibilities for new contributions, generalizability and impact beyond the local setting)

   Rating 1 2 3 4 5

   Comments:

2. PROCEDURES or PROJECT DESCRIPTION (Completeness and precision in detailing such facets as: compatibility with stated objectives, overall design or organization, knowledge of related work or implementation of newest findings, realistic time schedules)

   Rating 1 2 3 4 5

   Comments:

*This model of an individual evaluation sheet and the criteria which follow are a synthesis of commonalities derived from comparing numerous government rating sheets used for grading research, training, and demonstration proposals. Together they give a general idea of the government evaluative process. Adapted from material published in Developing Skills in Proposal Writing, by Mary Hall, Office of Federal Relations, Oregon State System of Higher Education.

3. PERSONNEL and FACILITIES (Are the qualifications of the staff and the availability of resources sufficient to fulfill, and directly related to, the stated purposes of the project?)

   Rating 1 2 3 4 5

   Comments:

4. ECONOMIC EFFICIENCY and FEASIBILITY (Is the relative cost proportional with the results that are expected?)

   Rating 1 2 3 4 5

   Comments:

5. OVERALL INDIVIDUAL EVALUATION Approved _____ Disapproved _____

   Rating 1 2 3 4 5

   Comments:

GOVERNMENT CRITERIA FOR TRAINING PROGRAMS
AND TYPICAL SHORTCOMINGS

I. Example of Criteria Used by the Government in Evaluating Training Proposals

A. The degree to which the proposed project delineates an important need in the field.

B. The indication of a well-coordinated project which has promise of meeting identified needs.

C. The extent to which the project will expose participants to new approaches, techniques, and new instructional materials.

D. The extent to which the participants actually will be involved in innovative and creative experiences.

E. The extent to which the project is focused on a discipline or a group of related disciplines.

F. The consistency and clarity of statement on procedure for selecting participants as related to purposes of the project.

G. The level of professional competence and leadership of the project director and of the professional staff which will assist him.

H. The indication that the professional staff will have sufficient time to prepare for and to conduct the project.

I. The extent to which the sponsoring institution will make available adequate classrooms, laboratories, library, and other needed facilities, and satisfactory instructional materials and equipment.

J. The degree to which the proposed project will result in the improvement of instruction.

K. Completeness of format, body of proposal, budget, etc.

II. Typical Shortcomings of Training Proposals

A. General

1. The training project does not fulfill the stipulations of the government program from which funds are sought or advance the goals of that program.

2. The estimated cost of the proposed project is unreasonable in terms of comparable costs for similar projects.

3. The institution appears to lack the necessary resources in either faculty personnel or physical equipment, or both, to conduct the project.

4. The proposal lacks specificity, clearness, coherence, or completeness.

5. The proposal failed to delineate an important need in the field.

B. Specific

1. No solid or tangible basis for pre-selection of participants.

2. Statements on selecting participants as related to purposes of the project were not clear and consistent.

3. No description of project staff or personnel.

4. Indications that professional staff would have insufficient time to prepare and conduct the project.

5. Failure to involve participants in innovative and creative learning experiences or to utilize new techniques or new instructional materials.

6. Indications that the sponsoring institution would not make available adequate classroom, laboratory, and other facilities or resources.

7. No indication of planned follow through to make the investment pay off for the institution, the participants, or the government.

C. Comments.

Case X: "It is difficult to figure out the amount of time involved. It looks like 20 one-day sessions for each of two quarters. Difficult to check amount of time for Director and Assistant Director. The objectives are very general. The project is so vaguely stated it is not possible to ascertain what it covers, how the participants will be involved, or for how long. Although the staff appears to be quite competent and the facilities good, the program, its organization and execution are so unclear that it is not really possible to recommend funding."

Case Y: "Extremely costly materials. Relatively limited staff backgrounds in instructional improvement. The objectives are narrow and not penetrating to the communication/learning process involved. The objectives would be much more revealing and the proposal greatly improved if the objectives spelled out the competencies and learning gains to be achieved by the participants. The excessive budget and the fact that this project is really a standard course plus the reasons above make it impossible to recommend funding."

Case Z: "Statements of objectives are weak and undefined. No evaluation indicated. Participants are overly heterogeneous. Project is highly expository, hence passive; very little active involvement built in. No evidence of project planning. Staff not particularly oriented to objectives and program of proposed Institute. No rationale for consultants named--and they have not agreed to serve. Recommend against funding."

VII POST-GRANT ADMINISTRATION

Usually, 3 to 6 months are required for a granting agency to accomplish all the necessary reviews (agency review, programmatic evaluation, budget analysis) in order to decide whether or not to fund. Additional time is then required to determine the amount of the award, based on the assessment of the project and the dollars of New Obligational Authority available. The amount of the latter will not be known by the agency until the fiscal year appropriation has been passed by Congress and signed by the President. Often, Congress must resort to a "continuing resolution" which permits the program to continue at last year's level but which delays new funding decisions. Opinion varies on whether or not the applicant should call the agency during this sometimes protracted delay. Although not prohibited, such calls interfere with the agency's funding activities and they are not encouraged. In any event, replies tend to be guarded and noncommittal since the agency staff member cannot release specific information prior to an official decision. The best policy would seem to be one of patient waiting.

NOTIFICATION OF AWARD

Every grant award is made in writing, although the format may vary. Some agencies use a letter; others use a preprinted form. The award will usually indicate the Grant Number (which is to be used in all correspondence and reports), the Project Director, the Total Project Period, the Budget Period, the Approved Budget, and any special conditions applicable to the grant. The Approved Budget is usually itemized. In addition, some agencies indicate the reason for any increases or decreases made in the requested amount. If so, any component "cut" from the budget is disallowed in the work program.

The grant award is always made to the College and the original document is, therefore, sent to the President. Copies may also be sent to other personnel named in the application, such as the project director and the Director of Finance.

No expenditures or obligations of grant funds may be made until written notification of the award has been received from the grantor and accepted by the President. This is in accord both with the College's policy and that of the granting agency. As detailed in the procedures printed in the Appendix to this manual, the Director of Finance is requested by the account manager to establish appropriate accounts as the first step to expend awarded funds and the College's matching contribution, if any. The process by which the College names the account managers is also included in the procedures printed in the Appendix.

As far as the granting agency is concerned, the responsibility for the proper conduct of the grant rests with the project director who has been named by the College. The qualifications of the project director are considered to be a condition of the grant. Therefore, the agency will require that it be notified of any intended change and reserves the right

to approve or disapprove the alternate selected by the College. If there is disapproval, it usually results in the termination of the grant.

ORIENTATION SESSION

There usually is a considerable lapse of time, as explained above, between the submission of the application and the approved date for the implementation of the grant. The orientation session provides the opportunity for all who will be directly involved in the project to review its objectives and chart the course to meet those objectives. The pertinent features of the grant award are discussed, particularly any special conditions, restrictions, or disallowed items. If appropriate, the Director of Finance and the Development Specialist will define the limits imposed by the granting agency such as allowances for travel, fees to consultants, or stipends paid to trainees. The College's administrative and fiscal procedures and responsibilities are also relevant subjects for discussion.

REPORTING RESPONSIBILITIES

One of the project director's responsibilities will be to prepare reports required by the granting agency and by the College. These will be explored during the orientation session and a report calendar will be developed by the Development Specialist to assist the project director. Almost every grant will require a programmatic report within a specified period (usually 90 to 120 days) after the end of the project or budget period; some may require progress reports at quarterly intervals or at the mid-point. The internal quarterly status report will provide the back-up data and facilitate the timely submission of reports required by the grantor.

Financial reports are always required, at least annually and often more frequently. Although they must be filed by the Director of Finance (in some instances, the President's signature will also be necessary), the quarterly status report completed by the project director in his role as secondary account manager provides information which enables the Director of Finance to meet this responsibility. Failure to file fiscal reports can adversely affect the College's being reimbursed for monies it may have expended on behalf of the grant.

AUDITS

The policies and procedures for disbursement of funds from appropriate accounts and for proper recording must be adhered to by all who are entrusted with conducting the grant project for the College. Every grant made by a government agency is subject to audit by auditors chosen by the agency. The College's fiscal accountability remains until the audit has been satisfactorily completed or a specified period of time, ordinarily 5 years, has elapsed. By the time of audit, the project director and project staff may have undertaken other assignments and may not be available to explain or reconcile items questioned by the auditor. If items are disallowed, the College will be required to reimburse the grantor even

though it cannot recapture the funds. Problems are best avoided by insuring that adequate written documentation is filed with the Director of Finance and other appropriate offices.

ADJUSTMENTS

During the operation of the grant, questions will arise or problems evolve which could not have been foreseen and which were not, therefore, specifically addressed in the proposal and/or the budget. The project director should turn to the many resources available within the College for guidance in meeting these unanticipated issues. Assistance should be sought from the primary account manager and from other College personnel whose responsibilities relate to the matter in question. Proposed budget adjustments or changes in accounts should be cleared with the Director of Finance.

Before implementing any changes in the content of the program or the approved budget, however, the project director should also consult with the Development Specialist. The Development Specialist will, in cooperation with the appropriate administrator, interpret the grantor's guidelines as to flexibility and assist in securing any required approvals. In general, granting agencies will approve reasonable changes which enhance the progress of the project toward its stated objectives, are in conformance with the institution's policies and procedures, and are within the total approved budget. But, such changes must have prior approval either by the awarding unit or by the authorizing official(s) of the institution to whom approval has been delegated by the awarding unit.

VIII SUBSEQUENT SUPPORT

Some grants are limited to one year during which the project must be completed. A request for any subsequent support will be considered as a new application addressing itself to a different aspect of the project. In training grants, however, it is more usual to contemplate multiyear support from the outset. Thus, if the College applies for a grant to train students to enter an occupational field for which a government agency has determined a need, a three to five year period is usual.

MULTIYEAR GRANT

In a multiyear grant, however, there is a distinction between the grant period and the budget period. The latter is almost always limited to one fiscal year because a Federal agency can obligate only appropriated funds. The grant instrument, therefore, will award funds usually for the initial fiscal year and express the intent to continue support for the balance of the grant period, contingent upon the availability of funds and the progress of the project. It will be necessary to apply for continuation, therefore, during the early part of the year for which funds have been awarded. Although this application may not be as complex as the first one, it will require a progress report of operations to date and serious consideration of modifications which may be needed in the subsequent years.

NOMENCLATURE

Within government agencies, there is an agreed-upon nomenclature for subsequent or additional support:

Continuation requests awarding of previously recommended support and is used in multiyear grants.

Renewal requests additional support beyond that which was previously recommended.

Supplement requests additional funds for the current operating period of the grant.

Extension requests extending the time for completion of the project without additional funding.

All of the above must be requested in writing according to the format of the grantor and will be granted in writing. Even if no money is requested, written permission is necessary since the time frame is considered part of the award. All will require intra-College concurrence similar to that which is included in the procedures for applying and most will need the signature of the President or other "authorizing official."

Another avenue of subsequent support is applying to another agency to fund a different phase, usually a followup to the original project.

IX SUMMARY

The purpose of Outside Funding is to provide additional financial support for those programs and services which the College has determined are within its goals and objectives. Outside Funding serves to fill the gap between the College's resources and its plans. (Section I.)

At Montgomery College, Outside Funding is the term used to refer to the financing of the College's educational programs and services from sources other than the usual County and State support. These sources include Federal and State grant programs as well as those of private foundations. (Section II.)

The College has established procedures to assist the project initiator in planning and developing applications for Outside Funding. (Appendix.) These procedures facilitate the interaction and cooperation which experience has shown to be necessary if a project is to succeed. The College's Development Specialist coordinates these activities and serves as a resource to the project initiator. This manual is designed to be a reference tool, relating the requirements of granting agencies to the procedures of the College. (Section III.)

An application usually consists of three parts: the preprinted forms designed by the granting agency, the narrative or proposal, and the budget. Following the suggestions on preparing the proposal and the budget will do much to enhance the possibilities of funding. A budget justification worksheet, completion of which will insure adequate funding of all parts of the project, is suggested. (Sections IV and V.)

The processing of the application and the criteria of programmatic review are explained. What reviewers of proposals look for is summarized in a composite evaluation rating form. A project initiator would be wise to subject the proposal to similar review by his colleagues before the application is submitted. (Section VI.)

If the application is deemed worthy of support, an award is made to the College. The management of the project and the effective expenditure of the grant funds are shared responsibilities. The roles of the project director and his supervisors, of the fiscal personnel of the College, and of the Development Specialist are delineated. (Section VII.)

Although some projects may be completed in one year, it is often necessary to anticipate the need for subsequent support. Different modes of subsequent support are defined and application methods are cited. (Section VIII.)

7.27 OUTSIDE FUNDING: GRANTS FROM FEDERAL, STATE, AND PRIVATE SOURCES 1/

7.271 POLICY

a. Applicability

These guidelines, derived from statutes, apply to all instructional and administrative offices of Montgomery College.

b. General

(1) Authority for participation in programs financed through grants and matching funds must be obtained from the Board of Trustees prior to receiving and disbursing funds.

(2) No charges shall be made against a project covered by this policy until written approval has been received from the appropriate Federal, State, or private organization.

7.272 DEFINITIONS

Outside Funding is a term used to refer to the financing of all of the College's educational programs and services from sources other than the usual County and State support. It excludes grants for planning or constructing facilities, furnishing initial furniture and equipment, and financial assistance to students, except as such grants and assistance may pertain to a funding proposal in support of an educational program. However, Outside Funding is construed to include potential funding from Federal, State, and private sources which is to be used in support of programs resulting from any negotiations, agreements, and arrangements with other institutions, organizations, agencies, and groups which seek the College's cooperation and involvement in such programs.

7.273 RESPONSIBILITIES

a. The Development Specialist for Funding, a staff member of the Office of Institutional Research, is charged with performing a clearinghouse function in order to provide a focal point through which all pertinent information, communications and negotiations are to be channeled. He:

(1) Collects and files material and informs the staff of the College concerning Federal, State, or other programs of financial aid pertaining to community colleges.

(2) Lends assistance in the development of projects supported by outside funding.

(3) Secures needed application forms, guidelines, and other pertinent material as required to develop the preliminary proposal drafted by the project initiator or program sponsor.

(4) Coordinates the preparation, submission, and negotiation of applications for Outside Funding.

1/ Policies and Procedures Manual, Montgomery Community College

(5) Coordinates the preparation of materials for approval by the appropriate college officials, the President, and the Board of Trustees in accordance with the procedures listed below.

(6) Assures compliance with legal, contractual, and fiscal provisions of all grants awarded under the following procedures.

b. Because any proposed additional equipment and facilities (or modification of them) have implications for existing and planned facilities for which the Office of Facilities is responsible, it is imperative that clearance be secured from that office before the College engages in any official negotiation and before any official action is taken to authorize or establish any project involving modifications or additions to current equipment or facilities.

7.275 PROCEDURES

a. No funds are to be obligated, encumbered, or expended until written approval of the funding of the grant has been obtained from the granting agency.

b. There are four phases involved in obtaining and using grants from outside sources: initiation and development, intra-college concurrence, approval, and implementation. To assist those who become involved in this process each step of each phase is described in the following paragraphs.

7.276 PHASE I - INITIATION AND DEVELOPMENT

a. Step 1. The Project Initiator requests or receives information and/or assistance from the Development Specialist. A Project Initiator wishing to develop a proposal for outside funding should inform the Development Specialist at the earliest possible date. This will insure adequate time to involve college officials in the required institutional review and determination of the general feasibility of the project before a draft of the proposal is developed.

b. Step 2. The Development Specialist assists in identifying potential funding sources and secures guidelines, application forms, and other pertinent information.

c. Step 3. The Project Initiator prepares preliminary proposal with the assistance of the Development Specialist.

d. Step 4. Appropriate offices of the College are involved in developing and reviewing the proposal. The offices normally involved would include the following and appropriate offices supervised by them.

(1) Campus Dean
(2) Dean of Administration
(3) Dean of Education

During this development process, it may be appropriate to inform the President and the Board of Trustees of the pertinent aspects of the proposal.

e. Step 5. Completion of the proposal and required grant application forms is the responsibility of the Project Initiator. The resources of the Development Specialist may be utilized by the initiator for assistance, coordination, and clerical support.

7.277 PHASE II - INTRA-COLLEGE CONCURRENCE

a. Step 6. The final proposal and Outside Funding Concurrence Form (MC Form 7.277) is circulated to:

(1) Associate Dean for College Facilities (facilities and equipment implications, if any)
(2) Campus Dean(s) (identify matching funds and approve administration of the project)
(3) Director of Finance (verify and reserve matching funds, if any)
(4) Other officials, as appropriate

b. Step 7. The proposal is then submitted, via the Dean of Education, to the President.

7.278 PHASE III - APPROVAL

a. Step 8. After approval by the President, the Development Specialist prepares a draft of the resolution to be submitted by the President to the Board of Trustees authorizing receipt and expenditure of funds, if awarded.

b. Step 9. The Development Specialist submits the completed, signed proposal to the grantor(s) of funds and conducts, with the Project Initiator, subsequent negotiations with the granting agency or agencies. If programmatic or budgetary changes are required in the grant application, the Development Specialist reworks as many of the above steps as necessary to assure that all involved college and campus officials concur. (If necessary to meet the granting agency's submission deadline, step 9 may precede step 8 with the understanding that "authority for participation in programs financed through grants and matching funds must be obtained from the Board of Trustees prior to receiving and disbursing funds".)

7.279 PHASE IV - IMPLEMENTATION OF GRANT

a. Step 10. The President is notified of the award, in writing, by the grantor(s) and sends it to the Development Specialist for analysis and coordination so that the President may accept or reject the award.

b. Step 11. Upon acceptance or rejection, the Development Specialist notifies those who have a direct interest in the grant.

c. Step 12. If the award is accepted, the Director of Finance will establish appropriate accounts in accordance with paragraph 7.243b (3) and the following:

(1) If the program director has been identified in the submitted application, the person so named shall be the secondary account manager and shall request the Director of Finance, through the primary account manager, to establish the appropriate accounts. The primary account manager shall be the administrator who, within the College's organizational structure, has fiscal responsibility for the office of the secondary account manager.

(2) If the program director has not been identified in the submitted application, the primary and secondary account managers shall be designated by the Dean of Administration after receipt of recommendations from the cognizant Campus Dean or, if appropriate to the grant, from the cognizant Central Office administrator. The secondary account manager shall request the Director of Finance, through the primary account manager, to establish the appropriate accounts (see sub-paragraph c (1), above.)

d. Step 13. An orientation session shall be convened by the Development Specialist in cooperation with the Director of Finance within two weeks after the accounts have been established to communicate the provisions, restrictions, and other pertinent features of the grant award to the program director and other persons who will be directly involved in the project. The grantor's and the College's (1) administrative guidelines, (2) recording and reporting responsibilities, and (3) procedures to initiate disbursement of funds from appropriate accounts, will be explained. A report calendar will be developed by the Development Specialist either during or as a result of the orientation session.

e. Step 14. A quarterly status report will be completed by the secondary account manager and forwarded, via the primary account manager, to the President. Informational copies will be sent to:

(1) the Director of Finance, to facilitate the filing of required fiscal reports, and

(2) the Development Specialist for the central file and for analysis of compliance with the provisions of the grant. Copies may be sent to other offices which the secondary account manager deems appropriate.

f. Step 15. The Development Specialist will assist the program director and the Director of Finance in the timely submission of required reports. The Development Specialist will remain available for interpretation of the grantor's guidelines, as liaison with the grantor for approval of adjustments to the program or the budget, and to assist in applying for continuation or renewal of the grant.

MONTGOMERY COLLEGE	OUTSIDE FUNDING CONCURRENCE FORM

Your signature on the appropriate line denotes your concurrence in the proposed application for grant, contract, or other sponsored program.

After signing, please forward to the next approval authority.

Title of Project _____

Project Initiator _____ Title _____

Outside Agency _____

Project Abstract

*	Signature	Date
1. Project Initiator		
2. Department Chairman		
3. Academic Dean/Division Chairman		
4. Campus Dean		
5. Associate Dean for College Facilities		
6. Director of Finance		
7. Director of Business and Procedures		
8. Dean of Program Development		
9. Other _____		

* **Development Specialist will delete those with whom coordination is not required. Return this form to Development Specialist.**

MC Form 7.277 (2/15/72)